



DEPARTMENT OF DEFENSE  
WASHINGTON HEADQUARTERS SERVICES  
1155 DEFENSE PENTAGON  
WASHINGTON, DC 20301-1155

July 1, 1999

ADMINISTRATIVE INSTRUCTION NO. 29

SUBJECT: Incentive and Honorary Awards Programs

- References:
- (a) Administrative Instruction No. 29, "Incentive Awards," January 8, 1990 (hereby canceled)
  - (b) Title 5, United States Code, "Government Organization and Employees"
  - (c) Title 5, Code of Federal Regulations, "Administrative Personnel"
  - (d) DoD 1400.25-M, "Department of Defense Civilian Personnel Manual," December 1996, authorized by DoD Directive 1400.25, November 25, 1996
  - (e) through (i), see enclosure 1

1. REISSUANCE AND PURPOSE

This Instruction:

1.1. Reissues reference (a) to update policy and responsibilities for the Incentive and Honorary Awards Programs under chapters 43 and 45 of 5 U.S.C. (reference (b)), 5 CFR 430 and 451 (reference (c)), and subchapter 451 of DoD 1400.25-M (reference (d)).

1.2. Continues to authorize and conduct the Incentive and Honorary Awards Programs to recognize:

1.2.1. Employee accomplishments achieved through suggestions, inventions, superior accomplishments, or other personal effort that contributes to the efficiency, economy, or other improvement of Government operations or achieves a significant reduction in paperwork; or a special act or service in the public interest in connection with or related to official employment; and

1.2.2. Private citizens, groups, and organizations that significantly assist or support Department of Defense (DoD) functions, services, or operations performed as a public service.

1.3. Recognizes monetary awards for members of the Armed Forces covered by this Instruction in accordance with 10 U.S.C. 1124 (reference (e)) for suggestions, inventions, and scientific achievements.

## 2. APPLICABILITY

This Instruction applies to:

2.1. Civilian employees and members of the Armed Forces regularly assigned to the Office of the Secretary of Defense (OSD), the Organization of the Joint Chiefs of Staff (JS), and other activities for which operational support is provided by the Washington Headquarters Services (WHS) Directorate for Personnel and Security Customer Support Operating Office.

2.1.1. A civilian employee is an employee who meets the definition of "employee" under 5 U.S.C. 2105 (reference (b)).

2.1.2. Members of the Armed Forces are eligible to be paid monetary awards under this Instruction only for suggestions, inventions, and scientific achievements under 10 U.S.C. 1124 (reference (e)).

2.2. Former employees. Under 5 CFR 451.104 (reference (c)), awards for contributions made by an individual when employed by the Department of Defense may be paid to a former employee or to the estate or legal heirs of a deceased employee. Awards to separated or deceased members of the Armed Forces for contributions made while the member was on active duty may be paid to the former member or to the member's estate or legal heirs.

2.3. Nonappropriated fund employees. Employees paid with nonappropriated funds are not eligible to receive monetary awards paid from appropriated funds but may receive nonmonetary awards under this Instruction.

## 2.4. Foreign national employees

2.4.1. A foreign national individual who meets the definition of employee as defined under 5 U.S.C. 2105 (reference (b)) and is paid with U.S. funds, i.e., a direct hire employee, is eligible to receive awards under this Instruction.

2.4.2. A foreign national individual who is paid on a cost reimbursable basis by agreement with a foreign country, i.e., an indirect hire employee, is not eligible to receive monetary awards but may receive nonmonetary awards under this Instruction.

## 3. DEFINITIONS

Terms used in this Instruction are defined in enclosure 2.

## 4. POLICY

4.1. It is WHS policy that the Incentive and Honorary Awards Programs shall:

4.1.1. Ensure that the type of recognition granted is in keeping with the value of the employee's contribution.

4.1.2. Ensure that maximum benefits for the Government are obtained by considering the applicability of employee contributions throughout the Federal Government.

4.1.3. Ensure that awards are not used as a substitute for other personnel actions or as a substitute for pay.

4.1.4. Ensure that awards are used to motivate, recognize, and reward eligible personnel as individuals or groups for contributions to the efficiency, economy, or other improvements in Government operations.

4.1.5. Ensure that due weight is given to awards when qualifying and selecting an employee for promotion and that all approved award recommendations are documented.

4.1.6. Ensure that awards are used to the extent that shall best support and enhance organizational goals and objectives and meet employee recognition needs.

4.1.7. Ensure that supervisory and management officials are trained properly in the effective use of awards covered by this Instruction.

4.1.8. Ensure that adequate funds are available for payment of awards.

4.1.9. Ensure that awards shall be granted consistent with Equal Employment Opportunity and Affirmative Employment Program policies and shall be free from discrimination regardless of race, color, religion, age, sex, national origin, or disability.

4.1.10. Provide a final board of review (the Incentive Awards Board) to review and recommend approval or disapproval of honorary awards and monetary awards for which the Heads of OSD Components do not have authority.

4.2. Acceptance of a monetary award constitutes an agreement that the use by the Government of an idea, method, or device for which the award is made does not form the basis of a further claim of any nature against the Government by the employee, his or her heirs, or assigns.

4.3. Expenditures for superior accomplishment, special act or service, supervisor's cash, and performance awards for Senior Executive Service (SES) (excluding performance bonuses), Scientific or Professional (ST), Senior Level (SL), General Schedule (GS/GM), or Federal Wage System (FWS) employees who are assigned permanently, or on detail from other organizations, to activities for which operational support is provided by the WHS Directorate for Personnel and Security Customer Support Operating Office shall be paid from, and not exceed, the Component's annual awards budget allocation.

4.4. Either one monetary award or a time-off award may be granted to an employee for a contribution. A contribution shall not serve as the basis for more than one monetary award (including a performance award or bonus) or for a monetary award and a time-off award.

4.5. Heads of OSD Components may delegate approval authority for awards over which they have approval authority. Such delegations shall be submitted to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS.

4.6. Heads of OSD Components may not delegate nomination authority for honorary awards over which the Secretary of Defense has final approval authority.

4.7. Persons or organizations having a commercial or profitmaking relationship with the Department of Defense or with a DoD Component shall not be granted recognition, unless the contribution is substantially beyond that specified or implied within the terms of the contract establishing the relationship, or the recognition is clearly in the public interest, in which case the recognition shall be honorary only.

## 5. RESPONSIBILITIES

5.1. The Director of Administration and Management, OSD (DA&M, OSD), shall:

5.1.1. Work jointly with the Assistant Secretary of Defense for Force Management Policy (ASD(FMP)), Office of the Under Secretary of Defense for Personnel and Readiness (OUSDP&R)), in the development and establishment of DoD-wide awards.

5.1.2. Administer the DoD-level civilian honorary awards program.

5.1.3. Recommend to the Secretary of Defense and the Deputy Secretary of Defense approval of awards over which the Secretary has final approval authority.

5.2. The Director, Washington Headquarters Services (WHS) shall:

5.2.1. Establish the policies for and administer the Incentive and Honorary Awards Programs for activities receiving operational support from the WHS Directorate for Personnel and Security Customer Support Operating Office and for the JS.

5.2.2. Establish the annual awards budget ceiling for the OSD Components for payment of superior accomplishment, special act or service, and supervisor's cash awards under this Instruction and performance awards under AI No. 63 (reference (f)).

5.2.3. Approve monetary awards that would grant more than \$5,000 cumulatively to a ST, SL, GS/GM, or FWS employee in a fiscal year for performance (including performance awards and the single-year increase in basic pay as a result of a quality step increase under AI No. 63 (reference (f)) and/or other accomplishments covered by this Instruction.

5.3. Heads of OSD Components shall:

5.3.1. Ensure that program or operational areas, where superior accomplishments may warrant award consideration, are identified through normal management review and control processes.

5.3.2. Encourage supervisors to identify employees or groups of employees deserving award consideration and request that award recommendations be submitted expeditiously.

5.3.3. Ensure that nominations that require Incentive Awards Board action are received by the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, Attention: Executive Secretary to the Incentive Awards Board, not later than the first Wednesday of each month, for consideration by the Board at that month's meeting.

5.3.4. Ensure expenditures on superior accomplishment, special act or service, and supervisor's cash awards, under this Instruction and performance awards under AI No. 63 (reference (f)) for SES, ST, SL, GS/GM, and FWS employees assigned to the Component permanently or temporarily (including on details) do not exceed the awards budget allocation.

5.3.5. Approve or disapprove, within the awards budget allocation, nominations for monetary recognition (including incentive awards under this Instruction and performance awards and the value of the single-year increase in basic pay as a result of a quality step increase under AI No. 63 (reference (f))) for ST, SL, GS/GM, and FWS employees that would grant a gross cumulative dollar amount not in excess of \$5,000 per employee per fiscal year.

5.3.6. Recommend in writing to the Director, WHS (through the Assistant Director for Labor and Management Employee Relations, WHS Directorate for Personnel and Security) approval of a monetary award that would cause the gross cumulative dollar amount of monetary recognition (including incentive awards under this Instruction and performance awards and the value of the single-year increase in basic pay as a result of a quality step increase under AI No. 63 (reference (f))) granted to a ST, SL, GS/GM, or FWS employee to exceed \$5,000 in a fiscal year. Authority to recommend such approval may not be delegated.

5.3.7. Recommend, within the awards budget allocation, to the Incentive Awards Board for review and approval, incentive awards nominations that would grant

more than \$5,000 (gross) and less than \$10,000 (gross) to a ST, SL, GS/GM, or FWS employee.

5.3.8. Recommend, within the awards budget allocation, to the Incentive Awards Board for review and approval, incentive awards nominations for SES members.

5.3.9. Approve or disapprove time-off awards.

5.4. The Incentive Awards Board shall:

5.4.1. Review nominations for the DoD Medal for Distinguished Civilian Service and the Secretary of Defense Medal for Meritorious Civilian Service and recommend approval or disapproval to the Secretary of Defense.

5.4.2. Review and approve any incentive award nomination that would grant in excess of \$5,000 (gross), but not exceeding \$10,000 (gross), to a ST, SL, GS/GM, or FWS employee.

5.4.3. Review and approve all monetary awards (excluding performance bonuses) that would not grant more than \$10,000 (gross) to a SES member.

5.4.4. Notify the Head of the OSD Component of action taken on awards nominations.

5.4.5. Review and act on suggestions.

5.4.6. Arrange for preparation of honorary awards and payment of incentive monetary awards.

5.4.7. Monitor the operation of the Incentive and Honorary Awards Programs to ensure uniformity of policy and coordination with related programs.

5.4.8. Recommend procedures, guides, and standards for improving the Incentive and Honorary Awards Programs.

5.4.9. Normally, convene the second Wednesday of each month to review and/or approve or disapprove incentive and honorary awards nominations.

5.5. The Director for Personnel and Security, WHS, shall:

5.5.1. Ensure that honorary and monetary awards meet the eligibility criteria and are in accordance with applicable laws, rules, regulations, policy, and provisions of this Instruction.

5.5.2. Make awards budget allocations on a fiscal year basis. Allocations may change during a fiscal year as a result of augmentation or reduction in resources within Components.

5.5.3. Process approved monetary awards expeditiously.

5.5.4. Serve as the Executive Secretary to the Incentive Awards Board.

5.5.5. Forward award nominations for civilians that would grant in excess of \$10,000 (gross), and up to \$25,000 (gross), to the ASD(FMP), OUSD(P&R)), for submission to the Director of the Office of Personnel Management in accordance with subchapter 451 of DoD 1400.25-M (reference (d)).

5.5.6. Forward award nominations for members of the Armed Forces that would grant in excess of \$10,000 (gross), and up to \$25,000 (gross), to the ASD(FMP), OUSD(P&R), for review and approval in accordance with subchapter 451 of DoD 1400.25-M (reference (d)).

5.5.7. Document all monetary and time-off awards in compliance with 5 CFR 451.106(3) (reference (c)).

5.5.8. Communicate the relevant parts of this Instruction to managers, supervisors, and employees.

5.5.9. File awards documents in compliance with the requirements of 5 CFR 451.106(f) (reference (c)).

5.5.10. Report awards data as required.

5.6. Supervisors at all levels shall:

5.6.1. Identify employees or groups of employees whose superior accomplishments or suggestions merit special recognition and promptly recommend them for appropriate recognition.



5.6.2. Evaluate suggestions and ideas to determine applicability in their respective administrative areas and their possible application in other DoD Components and in other Federal Agencies.

## 6. EFFECTIVE DATE

This Instruction is effective July 1, 1999, except that no provision of this Instruction shall be applied in such a way as to affect any administrative procedure related to any award taken under provisions of reference (a) that was pending on July 1, 1999.



D. O. Cooke  
Director

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E1. ENCLOSURE 1

REFERENCES, continued

- (e) Title 10, United States Code, "Armed Forces"
- (f) [Administrative Instruction No. 63](#), "Performance Appraisal Program for General Schedule, Federal Wage System, and Certain Other Employees," July 1, 1999
- (g) Executive Order 10717, "The President's Award for Distinguished Federal Civilian Service," June 27, 1957, as amended
- (h) Public Law 80-253, "National Security Act of 1947," July 26, 1947
- (i) Public Law 103-425, "A Bill to Amend the Defense Department Overseas Teachers Pay and Personnel Practices Act," October 31, 1994

## E2. ENCLOSURE 2

### DEFINITIONS

#### E2.1. TERMS

E2.1.1. Award. Something bestowed or an action taken to recognize and reward individual or team achievement that contributes to meeting organizational goals or improving the efficiency, effectiveness, and economy of the Government or is otherwise in the public interest. Such awards include, but are not limited to, employee incentives that are based on predetermined criteria.

E2.1.2. Contribution. An accomplishment achieved through an individual or group effort in the form of a suggestion, invention, superior accomplishment, or other personal effort that contributes to the efficiency, economy, or other improvement of Government operations or achieves a significant reduction in paperwork; or a special act or service in the public interest in connection with or related to official employment.

E2.1.3. Head of an OSD Component. For purposes of this Instruction, a Head of an OSD Component is a DoD official who has award approval authority; i.e., the Secretary of Defense and the Deputy Secretary of Defense; the Under Secretaries of Defense; the Assistant Secretaries of Defense who report directly to the Secretary of Defense or the Deputy Secretary of Defense; the General Counsel of the DoD; the Director, Operational Test and Evaluation; the Assistants to the Secretary of Defense who report directly to the Secretary of Defense or the Deputy Secretary of Defense; the Directors of the Defense Agencies and Field Activities who report directly to the Secretary of Defense or the Deputy Secretary of Defense; the Chairman of the Joint Chiefs of Staff; the Director of the Joint Staff; and the Chief Judge of the U.S. Court of Appeals for the Armed Forces.

E2.1.4. Honorary (Nonmonetary) Award. The recognition device is not a cash payment or time off as an award but rather an award of a honorific value, e.g., a letter, certificate, citation, medal, plaque, or other similar item of nominal value.

E2.1.5. Intangible Benefit. Savings to the Government that cannot be measured in terms of dollars.

E2.1.6. Monetary Award. The recognition device is a cash payment that does not increase the employee's rate of basic pay and is subject to applicable tax rules.

E2.1.7. Superior Accomplishment Award. A monetary award for contributions resulting in tangible benefits or savings and/or intangible benefits to the Government.

E2.1.8. Tangible Benefit. Savings to the Government that can be measured in terms of dollars.

E2.1.9. Time-Off Award. An alternate means of recognizing the superior accomplishments or other personal efforts of employees, including members of the SES, that contribute to the quality, efficiency, or economy of Government operations. Time off from duty is granted without loss of pay or charge to leave of the employee. The number of hours granted is commensurate with the employee's contribution or accomplishment.

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E4. ENCLOSURE 4  
INCENTIVE AWARDS

E4.1. SUPERIOR ACCOMPLISHMENT AWARD

A superior accomplishment award is a monetary form of recognition granted for a contribution resulting in tangible benefits or savings (see Award Scale A, enclosure 11) and/or intangible benefits (see Award Scale B, enclosure 12) to the Government. Heads of OSD Components shall accomplish this monetary form of recognition within awards budget allocations.

E4.1.1. Eligibility. Civilian employees covered by this Instruction.

E4.1.2. Format. See section E8.1. of enclosure 8.

E4.2. SPECIAL ACT OR SERVICE AWARD

A special act or service award is a monetary form of recognition granted for a contribution or accomplishment in the public interest that is a non-recurring contribution either in or outside of job responsibilities, a scientific achievement, or for the courageous handling of an emergency situation. Heads of OSD Components shall accomplish this monetary form of recognition within awards budget allocations.

E4.2.1. Eligibility. Civilian employees covered by this Instruction.

E4.2.2. Format. See section E8.2. of enclosure 8.

E4.3. SUPERVISOR'S CASH AWARD (SCA)

A SCA is a monetary form of recognition (not to exceed \$250.00) granted for day-to-day accomplishments. Heads of OSD Components shall accomplish this monetary form of recognition within awards budget allocations. In determining the amount of this award, consideration shall be given to the significance of the employee's contribution and the period worked. Examples of achievements warranting the SCA are:

E4.3.1. Streamlining, eliminating, or modifying an office procedure to improve effectiveness, efficiency, or timeliness.

E4.3.2. Accomplishing a specific, short-suspense project that contributed to the mission of the organization.

E4.3.3. Eligibility. Civilian employees covered by this Instruction.

E4.3.4. Format. See section E8.3. of enclosure 8.

E4.3.5. Limitation. This award shall not exceed \$250.00 (gross).

#### E4.4. TIME-OFF AWARD (TOA)

A TOA is intended to increase employees' productivity and creativity by rewarding contributions to the quality, efficiency, or economy of Government operations. A TOA is an alternative to a monetary or honorary award and may be granted for superior accomplishments, special acts or service, contributions that are of a one-time, nonrecurring nature, etc. In determining the amount of the TOA, consideration must be given to the cost in lost production and the benefits realized from the employee's contributions (see Award Scale C, enclosure 13). A TOA may not be used as a substitute for, or in addition to, a performance-based monetary award or bonus. A TOA does not convert to a cash payment under any circumstances.

E4.4.1. Eligibility. Civilian employees covered by this Instruction, including members of the SES.

E4.4.2. Format. See section E8.4. of enclosure 8.

#### E4.4.3. Limitations

E4.4.3.1. Full-time employees may be granted up to 80 hours of time off during a leave year without charge to leave or loss of pay. The maximum amount of time off that may be granted a full-time employee for any single contribution is 40 hours.

E4.4.3.2. For part-time employees or employees with less than a 40-hour work week, the total time which may be granted during any leave year is the average number of hours of work in the employee's biweekly scheduled tour of duty. The maximum award for any single contribution for these employees is one-half of the maximum amount of time that could be granted during the year.

E4.4.3.3. A TOA that has been approved and not used at the time an employee covered by this Instruction transfers to a DoD Component not receiving operational support from the WHS Directorate for Personnel and Security Customer Support Operating Office, or to another Federal Agency, cannot be transferred. Similarly, unused time off shall not transfer with an employee who transfers from a DoD Component that does not receive operational support from the WHS Directorate for Personnel and Security Customer Support Operating Office or from another Federal Agency. Every effort shall be made to allow the employee to use the TOA prior to the employee's transfer.

#### E4.4.4. Scheduling Time Off

E4.4.4.1. The employee is responsible for requesting use of the approved time off on a Standard Form (SF) 71, "Application for Leave," in accordance with standard leave approval practices. Requests to use time off should be done far enough in advance to permit its use without undue interruption to the work of the organization.

E4.4.4.2. Time off may not be used and recorded on time and attendance records until documentation, approval, and processing requirements are completed, usually within 14 workdays after submission to the Labor and Management Employee Relations Division, Directorate for Personnel and Security, WHS. The SF 50 shall serve as confirmation that the TOA has been approved and processed.

E4.4.4.3. Time off granted as an award should be scheduled and used normally within 90 days of the effective date of the award, but in no case more than one (1) year after the effective date.

#### E4.5. SUGGESTIONS

To be considered for an award, a suggestion must identify an improvement in the quality of operations, a cost reduction opportunity, or an improvement in the timeliness of service delivery that results in tangible or intangible benefits to the U.S. Government; and be adopted in whole or in part for implementation. The suggestion must set forth a specific proposed course of action to achieve the improvement or cost reduction and must not already be under consideration.

E4.5.1. Eligibility. Civilian employees and members of the Armed Forces covered by this Instruction.

E4.5.2. Format. See section E8.5. of enclosure 8.

E4.5.3. Exclusions. Ideas or suggestions that:

E4.5.3.1. Point out the need for routine maintenance work.

E4.5.3.2. Recommend enforcement of an existing rule.

E4.5.3.3. Propose changes in housekeeping practices or changes in working conditions for personal comfort.

E4.5.3.4. Call attention to errors or alleged violations of regulations.

E4.5.3.5. Result in intangible benefits of "good will."

The above types of submissions are not eligible for an award; however, the Executive Secretary to the Incentive Awards Board will forward them to the organization having responsibility for consideration.

E4.5.4. Time Limits. Ideas submitted for award consideration after adoption shall be submitted not more than three (3) months after adoption to be eligible for an award.

E4.5.5. Processing Suggestions

E4.5.5.1. The suggester shall submit suggestions (DD Form 355, "Employee Suggestion") (enclosure 14) through his or her immediate supervisor or directly to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, Attention: Executive Secretary to the Incentive Awards Board.

E4.5.5.2. The Executive Secretary to the Incentive Awards Board shall route the suggestion to the office of primary responsibility for evaluation.

E4.5.5.3. Normally within five (5) working days from receipt of the suggestion, the evaluator shall determine whether the suggestion is eligible or ineligible for adoption. The evaluator shall forward the evaluation on DD Form 2800, "Suggestion Evaluation" (enclosure 15), in duplicate, to the Head of the appropriate OSD Component.

E4.5.5.4. The Head of the OSD Component, or designee, normally within 20 working days, shall:

E4.5.5.4.1. Analyze and adjudicate the suggestion evaluator's findings and recommendations.

E4.5.5.4.2. Adopt or disapprove the suggestion.

E4.5.5.4.3. Recommend the amount of the monetary award, in accordance with enclosures 11 and 12.

E4.5.5.4.4. Forward the suggestion and completed DD Form 2800, with certification that the suggestion has been, or shall be, implemented and a recommendation of the award amount, to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, Attention: Executive Secretary to the Incentive Awards Board.

E4.5.5.5. The Incentive Awards Board shall:

E4.5.5.5.1. Review suggestions for compliance with established tangible and intangible benefits scales and approve or disapprove recommendations for awards that would grant \$10,000 (gross) or less to the suggester.

E4.5.5.5.1.1. If approved, the Board shall authorize payment. A copy of the authorization shall be forwarded to the Head of the OSD Component. When a suggestion is adopted by another Component, the benefiting Component shall share in the cost of the total award commensurate with the benefit when the award exceeds \$250 (gross). In such cases, the suggester's Component will notify the benefiting Component(s) of the amount due, and the benefiting Component(s) shall take prompt action to transfer the funds.

E4.5.5.5.1.2. If disapproved, the suggester shall be informed of the reason for disapproval.

E4.5.5.5.2. If the award would grant more than \$10,000 (gross) to the suggester, forward the suggestion and the DD Form 2800 with the award recommendation to the ASD(FMP) (OUSD(P&R)).

E4.5.5.5.3. If the suggestion has applicability elsewhere within or outside activities which receive operational support from the WHS Directorate for

Personnel and Security Customer Support Operating Office and/or the JS, forward the suggestion within five (5) working days after receipt to the office of responsibility for evaluation. The Board shall follow up on the referral in 30 days to determine the status. If approved, the Board shall check the award recommendation for compliance with established tangible and intangible benefits award scales (see enclosures 11 and 12) and authorize the award for payment. If disapproved, the suggester shall be informed of the reason for disapproval.

#### E4.6. INVENTIONS

E4.6.1. Members of the Armed Forces and civilian employees are encouraged to submit communications on inventions to the office responsible for patent matters in the appropriate Military Department.

E4.6.2. The office responsible for patent matters shall determine that the invention is of value or potential value to the Department of Defense and that the invention was made under circumstances that resulted in the Government initiating action to obtain the title or license.

E4.6.3. To be considered for an award, the applicable office responsible for patent matters shall verify to the Incentive Awards Board that conditions in subsection E4.6.2., above, have been met.

E4.6.4. If the conditions in subsection E4.6.2., above, are not met, but the invention is determined to be of value to the Department of Defense and the inventor consents to consideration for an award, the inventor will be required to sign a claim waiver agreement to be paid an award.

E4.6.5. Eligible personnel may be paid a nominal initial monetary award and an additional monetary award when the patent covering the invention is issued.

E4.6.6. If an application for a patent is placed under a secrecy order, the inventor will become eligible for the additional award when the U.S. Patent Office issues a Notice of Allowability instead of a patent.

E4.6.7. Awards for inventions are not authorized if a monetary award has been paid for the same contribution as a suggestion.

#### E4.7. SCIENTIFIC ACHIEVEMENTS

To be considered for an award, a scientific achievement must be based on an act, deed, or accomplishment that establishes a scientific or technological basis for technical improvements of military or other national significance; is of such quality and effectiveness that it materially advances the research and development of a Government activity, group, project, or service to the public; contributes materially to the welfare of the Armed Services and the nation; is the subject of an article accepted for publication in a nationally recognized scientific publication; or is the subject of a technical paper presented to a professional society that constitutes a substantial contribution to scientific knowledge. The achievement must result in tangible or intangible benefits or both to the Government. The amount of the award shall be based on the Award Scales for Tangible and/or Intangible Benefits (see enclosures 11 and 12) and shall be accomplished within the Component's awards budget allocation.

E4.7.1. Eligibility. Civilian employees and members of the Armed Forces covered by this Instruction.

E4.7.2. Format. See section E8.6. of enclosure 8.

E4.7.3. Time Limits. The completed nomination shall be submitted within three (3) months of the specific accomplishment giving rise to the nomination.

## E5. ENCLOSURE 5

### HONORARY AWARDS--FEDERAL CAREER CIVILIAN EMPLOYEES

#### E5.1. PRESIDENT'S AWARD FOR DISTINGUISHED FEDERAL CIVILIAN SERVICE

Established by Executive Order 10717 (reference (g)), this award is the highest honor a career employee may receive for extraordinary achievement in Federal service. The President grants it to career civil service employees whose accomplishments and achievements exemplify, to an exceptional degree, imagination, courage, and extraordinary ability in carrying out the mission of the Government. This award is highly selective, and nominees should have received the DoD Medal for Distinguished Civilian Service to be considered. The award consists of a gold medal suspended from a blue and white neck ribbon and a citation. Information on nomination procedures may be obtained from the Office of the Deputy Assistant Secretary of Defense for Civilian Personnel Policy, OUSD(P&R).

#### E5.2. DEPARTMENT OF DEFENSE MEDAL FOR DISTINGUISHED CIVILIAN SERVICE

This award is the highest honor granted to career civilian employees by the Secretary of Defense. The Secretary of Defense is the approval authority. This award consists of a citation signed by the Secretary of Defense, a large medal, a miniature medal, and a rosette. An employee may receive this award more than once during his or her career. Subsequent awards consist of the foregoing recognition devices and a bronze, silver, or gold palm, as appropriate.

##### E5.2.1. Eligibility

E5.2.1.1. Career civilian employees of the DoD whose careers reflect exceptional devotion to duty and whose contributions to the efficiency, economy, or other improvements in the Department's operations are of a significantly broad scope.

E5.2.1.2. Annually, usually not more than seven (7) awards are granted competitively.

E5.2.1.3. On rare occasions, when recommended by Heads of OSD Components or Secretaries of the Military Departments, the Secretary of Defense may



approve this award on a noncompetitive basis. When granted noncompetitively, the justification for the award must show that the nominee's contributions to the mission of the organization are of such major significance that immediate recognition is warranted.

E5.2.2. Format. See section E8.7. of enclosure 8.

### E5.3. SECRETARY OF DEFENSE MEDAL FOR MERITORIOUS CIVILIAN SERVICE

This is the second highest award granted to career civilian employees by the Secretary of Defense. This award requires review by the Incentive Awards Board. The Board recommends approval or disapproval of the award. The Secretary of Defense is the approval authority. This award consists of a citation signed by the Secretary of Defense, a large medal, a miniature medal, and a rosette. An employee may receive this award more than once during his or her career. Subsequent awards consist of the foregoing recognition devices and a bronze, silver, or gold palm, as appropriate.

E5.3.1. Eligibility. Career civilian employees of the Department of Defense and other Government Agencies who have distinguished themselves by exceptionally meritorious service of major significance to the Department of Defense.

E5.3.2. Format. See section E8.8. of enclosure 8.

### E5.4. OFFICE OF THE SECRETARY OF DEFENSE MEDAL FOR EXCEPTIONAL CIVILIAN SERVICE

This award was established to recognize career civilian employees covered by this Instruction who have distinguished themselves by exceptional service to the Component. This award consists of a medal, lapel pin, and citation signed by the Head of an OSD Component. An employee may receive this award more than once during his or her career. Subsequent awards consist of the foregoing recognition devices and a bronze, silver, or gold palm, as appropriate.

E5.4.1. Eligibility. Career civilian employees covered by this Instruction. Nominees shall have served a minimum of three (3) years in an organization receiving operational support from the WHS Directorate for Personnel and Security Customer Support Operating Office or in the JS, or a combination of the two. An exception to this requirement may be considered in highly unusual circumstances where the

employee's contribution to the mission of the organization is of such major significance that accelerated recognition is warranted.

E5.4.2. Format. See section E8.9. of enclosure 8.

#### E5.5. OFFICE OF THE SECRETARY OF DEFENSE CIVILIAN CAREER SERVICE AWARD

This award was established to recognize civilian employees' career service extending over a period of years and may include civilian and military service. The Head of an OSD Component may grant this award. This award consists of an engraved plaque.

E5.5.1. Eligibility. Career civilian employees covered by this Instruction. The nominee shall have received some form of prior recognition (such as a quality step increase or a performance award) for above-average achievements. This award is very appropriate upon retirement.

E5.5.2. Format. See section E8.10. of enclosure 8.

#### E5.6. OFFICE OF THE SECRETARY OF DEFENSE AWARD FOR EXCELLENCE

This award was established to recognize individuals who have made significant contributions to the mission of the JS or activities receiving operational support from the WHS Directorate for Personnel and Security Customer Support Operating Office. This award consists of an engraved plaque.

E5.6.1. Eligibility. Career civilian employees assigned to or outside an activity receiving operational support from the WHS Directorate for Personnel and Security Customer Support Operating Office or the JS. The nominee may have served on a detail assignment for a specific one-time project or been appointed specifically for that project. The project to which assigned, appointed, or detailed should have existed normally for at least six (6) months.

E5.6.2. Format. See section E8.11. of enclosure 8.

## E6. ENCLOSURE 6

### HONORARY AWARDS--NONCAREER FEDERAL CIVILIAN EMPLOYEES, PRIVATE CITIZENS, AND FOREIGN NATIONALS

#### E6.1. DEPARTMENT OF DEFENSE MEDAL FOR DISTINGUISHED PUBLIC SERVICE

This is the highest honorary award presented by the Secretary of Defense to noncareer Federal employees, private citizens, and foreign nationals. The Secretary of Defense is the approval authority. This award consists of a gold medal, a miniature medal, a rosette, and a citation signed by the Secretary of Defense. An individual may receive this award more than once. Subsequent awards consist of the foregoing recognition devices and a bronze, silver, or gold palm, as appropriate.

E6.1.1. Eligibility. The nominee shall be an individual who:

E6.1.1.1. Serves as a noncareer Federal employee or does not derive his or her principal livelihood from U.S. Government employment; and

E6.1.1.2. Has performed, at any time since enactment of Public Law 80--253 (1947) (reference (h)), exceptionally distinguished service of significance to the Department of Defense as a whole or distinguished service of such exceptional significance to a DoD Component or function that recognition at the DoD Component level is considered insufficient. The service or assistance may have been rendered at considerable personal sacrifice and inconvenience that was motivated by patriotism, good citizenship, and a sense of public responsibility.

E6.1.2. Format. See section E8.12. of enclosure 8.

#### E6.2. SECRETARY OF DEFENSE MEDAL FOR OUTSTANDING PUBLIC SERVICE

This is the second highest award presented by the Secretary of Defense to noncareer Federal employees, private citizens, and foreign nationals for contributions, assistance, or support to DoD functions that are extensive enough to warrant recognition but are lesser in scope and impact than is required for the DoD Medal for Distinguished Public Service. The Secretary of Defense is the approval authority. This award consists of a silver medal, a miniature medal, a rosette, and a citation signed by the Secretary of

Defense. An individual may receive this award more than once. Subsequent awards consist of the foregoing recognition devices and a bronze, silver, or gold palm, as appropriate.

E6.2.1. Eligibility. An individual who serves as a noncareer Federal employee or does not derive his or her principal livelihood from U.S. Government employment.

E6.2.2. Format. See section E8.13. of enclosure 8.

#### E6.3. OFFICE OF THE SECRETARY OF DEFENSE EXCEPTIONAL PUBLIC SERVICE AWARD

This award was established to recognize noncareer Federal employees, private citizens, and foreign nationals for their contributions, assistance, or support to activities receiving operational support from the WHS Directorate for Personnel and Security Customer Support Operating Office or the JS. This award consists of a bronze medal, a lapel pin, and a citation signed by the Head of an OSD Component. An individual may receive this award more than once. Subsequent awards consist of the foregoing recognition devices and a bronze, silver, or gold palm, as appropriate.

E6.3.1. Eligibility. An individual who serves as a noncareer Federal employee or does not derive his or her principal livelihood from U.S. Government employment.

E6.3.2. Format. See section E8.14. of enclosure 8.

#### E6.4. OFFICE OF THE SECRETARY OF DEFENSE AWARD FOR OUTSTANDING ACHIEVEMENT

This award was established to recognize noncareer Federal employees for their significant contributions to the mission of activities receiving operational support from the WHS Directorate for Personnel and Security Customer Support Operating Office or the JS. This award consists of an engraved plaque.

E6.4.1. Eligibility. Noncareer Federal employees assigned to or outside of activities receiving operational support from the WHS Directorate for Personnel and Security Customer Support Operating Office or the JS. The recipient of this award shall have a current rating of record of "Outstanding" or equivalent.

E6.4.2. Format. See section E8.15. of enclosure 8.

## E7. ENCLOSURE 7

### OTHER HONORARY AWARDS--CIVILIAN EMPLOYEES

#### E7.1. LENGTH OF SERVICE RECOGNITION

E7.1.1. Civilian employees covered by this Instruction who complete satisfactory Federal service shall be awarded length-of-service emblems and certificates applicable to their length of service beginning with 10 years of service and every five (5) years thereafter until 50 years. Total Federal civilian and all honorable military service shall be creditable toward eligibility for length-of-service recognition. Creditable service shall be figured from the service computation date established for each employee.

E7.1.2. The Director, Human Resource Services Center, National Capital Region, shall identify, on a monthly basis, employees who are eligible for length-of-service recognition. Certificates and pins for employees who have less than 30 years of service shall be provided to the employee's office of record. The Labor and Management Employee Relations Division, Directorate for Personnel and Security, WHS, shall provide pins and prepare citations which are signed by the Secretary of Defense for 30 or more years of service. Presentation ceremonies shall be arranged by the Component in which eligible employees are assigned.

#### E7.2. NONGOVERNMENTAL AWARDS

Periodically Federal civilian employees may be nominated for awards sponsored by nonfederal organizations. Information about sponsors, nomination procedures, and dates of submissions for such awards shall be announced by the Executive Secretary to the Incentive Awards Board.

### E7.3. MISCELLANEOUS

Supervisors may grant certificates and letters of appreciation and letters of commendation to employees, contractors, and others for specific instances of contributions or achievements that warrant special recognition. Blank certificates of appreciation, for completion and presentation by Components, are available from the Labor and Management Employee Relations Division, Directorate for Personnel and Security, WHS.

## E8. ENCLOSURE 8

### FORMATS

#### E8.1. SUPERIOR ACCOMPLISHMENT AWARD

Forward the original and six (6) copies of a memorandum addressed to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, and signed by the Head of the OSD Component that contains the following:

E8.1.1. Name; social security number (SSN); title, series, and grade; organization and location; period covered by the award; length of time with the organization; and a statement that the contributions have not been and shall not be recognized with any other monetary award (including a performance award or bonus) or a time-off award.

E8.1.2. Description of the achievement(s) in detail. Tangible and intangible benefits must be described separately. The justification must refer to the applicable award scales in enclosures 11 and 12.

E8.1.3. Amount of award based on, and with reference to, the applicable award scales in enclosures 11 and 12.

#### E8.2. SPECIAL ACT OR SERVICE AWARD

Same as in section E8.1., above.

#### E8.3. SUPERVISOR'S CASH AWARD (SCA)

Forward a memorandum addressed to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, and signed by an official at least one level higher than the recommending official. The memorandum shall contain the following:

E8.3.1. Name; SSN; title, series, and grade; organization and location; period covered by the award; and a statement that the contributions have not been and shall not be recognized with any other monetary award (including a performance award or bonus) or a time-off award.



E8.3.2. Description of the specific achievement(s).

E8.3.3. Amount of award not to exceed \$250.00 (gross).

#### E8.4. TIME-OFF AWARD (TOA)

Forward a memorandum approved by the Head of the OSD Component to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, that contains the following:

E8.4.1. Name; SSN; title, series, and grade; organization and location; period covered by the award; length of time with the organization; and a statement that the contributions have not been and shall not be recognized with any monetary award (including a performance award or bonus).

E8.4.2. Justification containing a description of the nominee's specific contributions to meeting organizational goals or improving the efficiency, effectiveness, and economy of the Government.

E8.4.3. Hours of time off granted based on the award scale in enclosure 13.

E8.4.4. Certification from the supervisor or recommending official that "Consideration of the cost of this time-off award in lost production has determined that the benefits realized by the organization from the employee's contributions support the amount of time off approved. The organization's workload and the employee's projected leave have been considered. The employee will be able to schedule the time off in addition to other projected leave not later than \_\_\_\_\_ [a date not later than 90 days from submission of the TOA for approval, if possible; otherwise, not later than one (1) year thereafter]. Other available forms of recognition and monetary awards were considered in determining the amount of this time-off award."

E8.4.5. The approved TOA shall be documented on a Standard Form 50 (SF 50), "Notification of Personnel Action," which shall be filed in the employee's Official Personnel Folder. The TOA justification shall be retained in the Labor and Management Employee Relations Division, Directorate for Personnel and Security, WHS. A separate SF 50 shall be prepared for each TOA. The number of hours approved as time off shall be in item 20, "Total Salary/Award," of the SF 50.

#### E8.5. SUGGESTIONS

Suggestions shall be typed or printed on DD Form 355, "Employee Suggestion" (enclosure 14). All blocks shall be completed and the form signed by the suggester. The signature constitutes an agreement that the use of the suggestion by the United States shall not form the basis of a further claim of any nature against the United States by the suggester, his or her heirs or assigns; and a warranty that at the time the award is accepted, the suggester has not assigned or otherwise been divested of legal or equitable title to any property right residing on the idea, method, or device for which this award is made. The DD Form 355 shall contain a complete, factual, and specific explanation of the suggestion and shall explain the present practice, the suggested change, where and how it may be used, and what benefits may be derived from it. It shall include all information available to the suggester, such as stock and form numbers, titles, etc.

#### E8.6. SCIENTIFIC ACHIEVEMENTS

Forward the original and six (6) copies of a memorandum addressed to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, and signed by the Head of the OSD Component that contains the following:

E8.6.1. Name; SSN; title, series, and grade; organization and location; length of time with the organization; and a statement that the contributions have not been and shall not be recognized with any other monetary award (including a performance award or bonus) or a time-off award.

E8.6.2. Description of the achievement in detail, with particular emphasis on, and explanation of, the pioneering aspects or substantive contribution of the achievement. Tangible and intangible benefits must be described separately.

E8.6.3. Amount of the award based on, and with reference to, the applicable award scales in enclosures 11 and 12.

## E8.7. DEPARTMENT OF DEFENSE MEDAL FOR DISTINGUISHED CIVILIAN SERVICE

E8.7.1. Heads of OSD Components and Secretaries of Military Departments shall submit nominations in a memorandum addressed to the DA&M, OSD, through the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS. Nominations for the competitive process shall be submitted by March 31 of each year. Criteria and nominating procedures shall be announced annually, in accordance with subchapter 451 of DoD 1400.25-M (reference (d)). The Secretary of Defense is the approval authority. Winners are honored at the Secretary of Defense Annual Distinguished Civilian Service Award Ceremony and Reception normally conducted in the fall.

E8.7.2. On rare occasions the Secretary of Defense may approve this award on a noncompetitive basis. The format for noncompetitive nominations is a memorandum signed by the Head of the OSD Component or the Secretary of the Military Department, addressed to the DA&M, OSD, through the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, that contains the following:

E8.7.2.1. Name; title, series, and grade; organization and location; length of time with the organization; and period covered by the award.

E8.7.2.2. Significant prior awards and dates of approval.

E8.7.2.3. Narrative justification of no more than three (3) pages that cites specific accomplishments which reflect a career of exceptional devotion to duty and contributions to the efficiency, economy, or other improvements in DoD operations of a significantly broad scope. The nomination must show that the contributions to the mission of the organization are of such major significance that immediate recognition is warranted.

E8.7.2.4. Double-spaced proposed draft citation of 150 words or less.

E8.7.2.5. Submit the original and six (6) copies of the nomination package.

#### E8.8. SECRETARY OF DEFENSE MEDAL FOR MERITORIOUS CIVILIAN SERVICE

Heads of OSD Components and Secretaries of Military Departments shall submit nominations in a memorandum to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, Attention: Executive Secretary to the Incentive Awards Board. The Secretary of Defense is the approval authority. The following information must be included in the nomination:

E8.8.1. Name; title, series, and grade; organization and location; length of time with the organization; and period covered by the award.

E8.8.2. Significant prior awards and dates of approval.

E8.8.3. Narrative justification of no more than one (1) page that cites the nominee's exceptionally meritorious service outside of the scope of the nominee's regular job that is of major significance to the Department of Defense.

E8.8.4. Double-spaced draft of a proposed citation of 150 words or less.

E8.8.5. Submit the original and six (6) copies of the nomination package.

#### E8.9. OFFICE OF THE SECRETARY OF DEFENSE MEDAL FOR EXCEPTIONAL CIVILIAN SERVICE

Forward to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, a memorandum signed by the Head of the OSD Component that contains the following:

E8.9.1. Name; title, series, and grade; organization and location; length of time with the organization; and period covered by the award.

E8.9.2. Significant prior awards and approval dates.

E8.9.3. Narrative justification of no more than one (1) page that cites the nominee's specific exceptional accomplishments outside the scope of his or her job and the significance of those accomplishments to the Department of Defense.

E8.9.4. Double-spaced proposed draft citation of 150 words or less.

E8.9.5. Submit the original and one (1) copy of the nomination package.

E8.10. OFFICE OF THE SECRETARY OF DEFENSE CIVILIAN CAREER SERVICE AWARD

Forward to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, a memorandum signed by the Head of the OSD Component that contains the following:

E8.10.1. Name; title, series, and grade; organization and location; length of time with the organization; and period covered by the award.

E8.10.2. Narrative justification that cites the nominee's specific accomplishments extending over a period of years.

E8.10.3. Submit the original of the nomination package.

E8.11. OFFICE OF THE SECRETARY OF DEFENSE AWARD FOR EXCELLENCE

Forward to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, a memorandum signed by the Head of the OSD Component that contains the following:

E8.11.1. Name; title, series, and grade; organization and location; length of time with the organization; and period covered by the award.

E8.11.2. Narrative justification that cites the nominee's specific accomplishments.

E8.11.3. Submit the original of the nomination package.

#### E8.12. DEPARTMENT OF DEFENSE MEDAL FOR DISTINGUISHED PUBLIC SERVICE

Heads of OSD Components and Secretaries of Military Departments shall submit nominations by memorandum to the DA&M, OSD, through the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS. The Secretary of Defense is the approval authority. The nomination shall contain the following:

E8.12.1. Name; title, series, and grade; organization and location; length of time with the organization; and period covered by the award.

E8.12.2. Narrative justification that cites specific distinguished service or assistance of such exceptional significance that the nominee has rendered to the Department of Defense which may have been at considerable personal sacrifice and inconvenience and motivated by patriotism, good citizenship, and a sense of public responsibility.

E8.12.3. Double-spaced proposed draft citation of 150 words or less.

E8.12.4. Submit the original and six (6) copies of the nomination package.

#### E8.13. SECRETARY OF DEFENSE MEDAL FOR OUTSTANDING PUBLIC SERVICE

Heads of OSD Components and Secretaries of Military Departments shall submit nominations by memorandum to the DA&M, OSD, through the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS. The Secretary of Defense is the approval authority. The nomination shall contain the following:

E8.13.1. Name; title, series, and grade; organization and location; length of time with the organization; and period covered by the award.

E8.13.2. Narrative justification that cites specific examples of highly significant service that the nominee provided to the Department of Defense.

E8.13.3. Double-spaced proposed draft citation of 150 words or less.

E8.13.4. Submit the original and six (6) copies of the nomination package.

E8.14. OFFICE OF THE SECRETARY OF DEFENSE EXCEPTIONAL PUBLIC SERVICE AWARD

Forward to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, a memorandum signed by the Head of the OSD Component that contains the following:

E8.14.1. Name; title, series, and grade; organization and location; length of time with the organization; and period covered by the award.

E8.14.2. Narrative justification that cites specific examples of highly significant service that the nominee provided to the Department of Defense.

E8.14.3. Double-spaced proposed draft citation of 150 words or less.

E8.14.4. Submit the original and one (1) copy of the nomination package.

E8.15. OFFICE OF THE SECRETARY OF DEFENSE AWARD FOR OUTSTANDING ACHIEVEMENT

Forward to the Assistant Director for Labor and Management Employee Relations, Directorate for Personnel and Security, WHS, a memorandum signed by the Head of the OSD Component that contains the following:

E8.15.1. Name; title, series, and grade; organization and location; length of time with the organization; and period covered by the award.

E8.15.2. Narrative justification that cites the nominee's specific contributions to the mission of an organization receiving operational support from the WHS Directorate for Personnel and Security Customer Support Operating Office or the JS.

E8.15.3. Submit the original of the nomination package.

## E9. ENCLOSURE 9

### AWARDS CEILING

#### E9.1. MAXIMUM COMPONENT HEAD APPROVAL AUTHORITY

Subject to the awards budget allocation, Heads of OSD Components may approve a maximum of \$5,000 (gross) in monetary recognition per employee per fiscal year for performance (including performance awards and the value of the single-year increase in basic pay as a result of a quality step increase) under AI No. 63 (reference (f)) and for other accomplishments under this Instruction.

#### E9.2. DIRECTOR, WHS APPROVAL AUTHORITY

A gross cumulative total of more than \$5,000 for an employee in a fiscal year requires written justification from the Component Head through the Director for Personnel and Security, WHS, to the Director, WHS. Such justification shall document the employee's performance and accomplishments and why he or she is deserving of cumulative monetary recognition that exceeds \$5,000 in the fiscal year and that there are sufficient awards funds available to pay the recognition. Component Heads may not delegate the authority to initiate such requests.



## E10. ENCLOSURE 10

### LIMITATIONS ON AWARDS DURING A PRESIDENTIAL ELECTION PERIOD

#### E10.1. A PRESIDENTIAL ELECTION PERIOD

A Presidential election period is any period beginning on June 1 in a calendar year in which the popular election of a President occurs and ending on January 20 following the date of such election.

#### E10.2. PROHIBITED RECOGNITION DURING A PRESIDENTIAL ELECTION PERIOD

Public Law 103-425 section 2 (reference (i)) amended the incentive awards provisions in chapter 45 of 5 U.S.C. (reference (b)), by adding section 4508 prohibiting the granting of awards during a Presidential election period to employees who are in a Senior Executive Service (SES) position and not a career appointee; or in an excepted service position of a confidential or policy determining character (Schedule C appointees). This prohibition applies to the granting of monetary and time-off awards.

#### E10.3. PERMISSIBLE RECOGNITION DURING A PRESIDENTIAL ELECTION PERIOD

Nonmonetary awards such as certificates, plaques, and items of a similar nature are permitted during a Presidential election period provided that the form of the nonmonetary award avoids the appearance of replacing a bonus. As nonmonetary awards may take a wide variety of forms with a wide variance, both in terms of direct costs and the appearance of such value, recognition by nonmonetary awards should create the inherent impression of symbolic value (an honor being bestowed) rather than monetary worth (cash value).

E11. ENCLOSURE 11

AWARD SCALE A, "AWARD SCALE FOR SUGGESTIONS, INVENTIONS,  
SPECIAL ACTS OR SERVICE, AND SCIENTIFIC ACHIEVEMENTS RESULTING  
IN TANGIBLE BENEFITS TO THE GOVERNMENT"

<u>BENEFITS</u>	<u>AWARDS</u>
<u>Estimated First – Year Benefits</u>	<u>Amount of Awards to Employee</u>
Up to \$100,000 in benefits	10 percent of benefits
\$100,001 and above in benefits	\$10,000 plus one percent of benefits above \$100,001, up to \$25,000, with the approval of the Office of Personnel Management
	Presidential approval is required for all awards of more than \$25,000.

E12. ENCLOSURE 12

**AWARD SCALE B, "AWARD SCALE FOR SUGGESTIONS, INVENTIONS,  
SPECIAL ACTS OR SERVICE, AND SCIENTIFIC ACHIEVEMENTS RESULTING  
IN INTANGIBLE BENEFITS TO THE GOVERNMENT"**

VALUE OF BENEFIT	EXTENT OF APPLICATION			
	LIMITED Affects functions, mission, or personnel of one facility, installation, regional area, or an organizational element of headquarters. Affects small area of science or technology.	EXTENDED Affects functions, mission, or personnel of an entire regional area, command, or bureau. Affects an important area of science or technology.	BROAD Affects functions, mission, or personnel of several regional areas or commands, or an entire Department or Agency. Affects an extensive area of science or technology.	GENERAL Affects functions, mission, or personnel of more than one Department or Agency, or is in the public interest throughout the nation and beyond.
<b>MODERATE</b> Change or modification of an operating principle or procedure with limited use or impact.	\$25 - \$125	\$126 - \$325	\$326 - \$650	\$651 - \$1,300
<b>SUBSTANTIAL</b> Substantial change or modification of procedures. An important improvement to the value of a product, activity, program, or service to the public.	\$125 - \$325	\$326 - \$650	\$651 - \$1,300	\$1,301 - \$3,150
<b>HIGH</b> Complete revision of a basic principle or procedures; a highly significant improvement to the value of a product or service.	\$325 - \$650	\$651 - \$1,300	\$1,301 - \$3,150	\$3,151 - \$6,300
<b>EXCEPTIONAL</b> Initiation of a new principle or major procedure; a superior improvement to the quality of a critical product, activity, program, or service to the public.	\$650 - \$1,300	\$1,301 - \$3,150	\$3,151 - \$6,300	\$6,301 - \$10,000

E13. ENCLOSURE 13

**AWARD SCALE C, "TIME-OFF AWARD SCALE FOR FULL-TIME EMPLOYEES  
FOR SUGGESTIONS, INVENTIONS, SPECIAL ACTS OR SERVICE, AND  
SCIENTIFIC ACHIEVEMENTS"**

VALUE OF BENEFIT	EXTENT OF APPLICATION			
	LIMITED Affects functions, mission, or personnel of one facility, installation, regional area, or an organizational element of headquarters. Affects small area of science or technology.	EXTENDED Affects functions, mission, or personnel of an entire regional area, command, or bureau. Affects an important area of science or technology.	BROAD Affects functions, mission, or personnel of several regional areas or commands, or an entire Department or Agency. Affects an extensive area of science or technology.	GENERAL Affects functions, mission, or personnel of more than one Department or Agency, or is in the public interest throughout the nation and beyond.
<b>MODERATE</b> Change or modification of an operating principle or procedure with limited use or impact.	2 - 4 hours	5 - 7 hours	8 - 11 hours	12 - 16 hours
<b>SUBSTANTIAL</b> Substantial change or modification of procedures. An important improvement to the value of a product, activity, program, or service to the public.	5 - 7 hours	8 - 11 hours	12 - 16 hours	17 - 24 hours
<b>HIGH</b> Complete revision of a basic principle or procedures; a highly significant improvement to the value of a product or service.	8 - 11 hours	12 - 16 hours	17 - 24 hours	25 - 32 hours
<b>EXCEPTIONAL</b> Initiation of a new principle or major procedure; a superior improvement to the quality of a critical product, activity, program, or service to the public.	12 - 16 hours	17 - 24 hours	25 - 32 hours	33 - 40 hours



SECTION II - SUGGESTION			
1. SUGGESTION NUMBER	2. I BELIEVE THIS SUGGESTION WILL (X all that apply)		
	<input type="checkbox"/> SAVE TIME	<input type="checkbox"/> SAVE MATERIAL	<input type="checkbox"/> IMPROVE METHODS
	<input type="checkbox"/> SIMPLIFY WORK	<input type="checkbox"/> OTHER (Specify)	
3. SUGGESTION DESCRIPTION (Describe suggestion completely. Describe the present practice, suggested change, where and how it can be used, and benefits to be derived from its use. Include all information available to you.)			
SECTION III - OPTIONAL EVALUATION BY SUPERVISOR			
<i>(If suggestion pertains to employee's job responsibility or work of office by which employed)</i>			
1. IS THIS A NORMAL REQUIREMENT OF THE DUTIES OF THIS POSITION? (X one)	<input type="checkbox"/> YES	<input type="checkbox"/> NO	2. DOES THIS SUGGESTION PERTAIN TO A PROBLEM ASSIGNED THE EMPLOYEE FOR SOLUTION? (X one)
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> YES <input type="checkbox"/> NO
3. DO YOU RECOMMEND ADOPTION OF THIS SUGGESTION? (X one)	<input type="checkbox"/> YES	<input type="checkbox"/> NO	4. WHAT, IF ANY, ARE THE MONETARY SAVINGS?
5. WHAT, IF ANY, ARE THE INTANGIBLE BENEFITS?			
6. SUPERVISOR			
a. TYPED NAME (Last, First, Middle Initial)	b. SIGNATURE		c. DATE SIGNED (YYYYMMDD)

<b>SECTION IV - SUGGESTION ACKNOWLEDGMENT</b>			
<b>1. SUGGESTION NUMBER</b>	<b>2. SUBJECT OF SUGGESTION</b>		
<b>3. ACKNOWLEDGMENT.</b> Thank you for your suggestion. It has been assigned the above suggestion number. Careful consideration will be given your suggestion and you will be kept advised as to action taken. Your interest in presenting this idea is appreciated.		<b>a. SIGNATURE OF EXECUTIVE SECRETARY.</b> INCENTIVE AWARDS BOARD	<b>b. DATE SIGNED</b> (YYYYMMDD)
<b>4. RETURN TO:</b> <i>(Please print your name and home address in the space provided below, keeping within the printed corner marks.)</i> <div style="border: 1px solid black; height: 150px; margin-top: 10px; position: relative;"> <div style="position: absolute; top: 10px; left: 10px; border-top: 1px solid black; border-left: 1px solid black; width: 40px; height: 10px;"></div> <div style="position: absolute; top: 10px; right: 10px; border-top: 1px solid black; border-right: 1px solid black; width: 40px; height: 10px;"></div> <div style="position: absolute; bottom: 10px; left: 10px; border-bottom: 1px solid black; border-left: 1px solid black; width: 40px; height: 10px;"></div> <div style="position: absolute; bottom: 10px; right: 10px; border-bottom: 1px solid black; border-right: 1px solid black; width: 40px; height: 10px;"></div> </div>			
<p style="text-align: center;"><b>HOW YOUR SUGGESTION IS HANDLED</b></p> <ol style="list-style-type: none"> <li>1. Your suggestion is sent to the Executive Secretary of the Incentive Awards Board, or for coordination with your supervisor, if appropriate.</li> <li>2. It is first evaluated by the cognizant operating activity as to feasibility for adoption or rejection.</li> <li>3. It then receives consideration by the Incentive Awards Board.</li> <li>4. You are then notified of its:               <ol style="list-style-type: none"> <li>(a) Adoption - an award is presented; or</li> <li>(b) Rejection - with an explanation of reasons for rejection.</li> </ol> </li> </ol> <p>The evaluation and processing of your suggestion takes considerable time.</p>			

## E15. ENCLOSURE 15

## DD FORM 2800, "SUGGESTION EVALUATION"

<b>SUGGESTION EVALUATION</b>						1. DATE (YYYYMMDD)		
2. TO: (Use complete address)								
3. SUGGESTION TITLE						4. SUGGESTION NUMBER		
5. ACTION TAKEN OR RECOMMENDED (Check pertinent box and furnish necessary information in item 5, "Remarks".)								
a. NOT RECOMMENDED FOR ADOPTION (Give reasons in item 5)								
b. ALREADY UNDER CONSIDERATION (Explain origin of action in item 5. Include also whether or not this suggestion, partially or totally, contributed to the action. If Yes, complete all other items.)								
c. ALREADY IN USE								
d. RECOMMEND ADOPTION, BUT APPROVAL NOT WITHIN JURISDICTION OF THIS OFFICE (Complete all other items and forward to Incentive Awards Board in accordance with Administrative Instruction No. 28)								
e. APPROVED FOR ADOPTION (Complete all other items)								
(1) TOTALLY		(2) PARTIALLY (Specify)		(3) DATE OF IMPLEMENTATION (YYYYMMDD)		(4) METHOD OF ADOPTION		
(5) MANDATORY OR OPTIONAL USE								
6. INTANGIBLE BENEFITS (Non-measurable) SUGGESTION IMPROVES								
<input type="checkbox"/> QUALITY <input type="checkbox"/> EFFICIENCY <input type="checkbox"/> TIMELINESS <input type="checkbox"/> DAILY OPERATIONS <input type="checkbox"/> SERVICE <input type="checkbox"/> OTHER (Explain in item 5)								
7. TANGIBLE BENEFITS. (First year tangible benefits will be calculated if at all possible. Use table below or, if inapplicable, give a detailed breakdown of benefits under item 5, "Remarks". Use additional pages, if required.)								
a. FACTORS		(1) LABOR			(2) MATERIAL		(3) TOTAL COST OF LABOR AND MATERIAL	
		MAN-HOURS INVOLVED		COST PER MAN-HOUR		TOTAL COST		
FORMER METHOD								
NEW METHOD								
b. COST OF CONVERTING TO NEW METHOD					(4) TOTAL DOLLAR BENEFITS \$			
(1) MAN-HOURS		\$			c. TOTAL FIRST YEAR NET DOLLAR BENEFITS (Labor and material less cost of conversion)			
(2) MATERIALS AND/OR EQUIPMENT		\$						
		(3) TOTAL COST \$			\$			
8. AWARD		a. CASH \$			b. CERTIFICATE			
9. REMARKS (Use this space for all contributory comments including description of old or new method if different from that described on the suggestion)								
10. EVALUATOR								
a. SIGNATURE				b. TITLE		c. ORGANIZATION		
d. TELEPHONE NUMBER (Include Area Code)								
11. REVIEWER								
a. SIGNATURE				b. TITLE		c. ORGANIZATION		

DD FORM 2800, JUL 1999

REPLACES SD FORM 443, WHICH IS OBSOLETE.